

In re Patent Application of:

MILLS et al.

Serial No.: 09/786,736

Filed: 3/8/01

For: COMMUNICATION OF CREDIT FILTERED PRICES IN AN ELECTRONIC BROKERAGE



Our Ref: 3331-217

Date: May 24, 2001

Group Art Unit: --

Examiner: --

Assistant Commissioner of Patents  
Washington, D.C. 20231

**SUBMISSION**

Sir:

<input checked="" type="checkbox"/>	Submitted herewith is a copy of art together with an art listing form listing the same for the convenience of the Examiner.
<input type="checkbox"/>	The document(s) listed on the attached art listing form was/were cited in a Search Report issued by a foreign patent office in a related application. A copy of the Search Report (in the English language) is attached hereto for the Examiner's reference.
<input type="checkbox"/>	The Japanese Publication(s) listed on the attached art listing form was/were cited in a Japanese Office Action issued in a related application. A copy of the Japanese Office Action and an English-language translation of the relevant portions are also attached. <b>SEE ENGLISH TRANSLATION FOR NON-ENGLISH-LANGUAGE DOCUMENTS.</b>
<input type="checkbox"/>	This submission is being made after the issuance of a first Office Action and three months after the application filing date. Thus a Certification Under 37 C.F.R. §1.97(e) is set forth below.
<input type="checkbox"/>	I hereby certify that each item of information contained in this Submission was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of this Submission (37 C.F.R. §1.97(e)).
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<input type="checkbox"/>	This submission is being made after the issuance of a final rejection or a Notice of Allowance but prior to the payment of the issue fee. Applicant(s) hereby attach the fee of \$180.00 under 37 C.F.R. §1.17(I). A certification under 37 C.F.R. §1.97(e) is set forth above.

**EXPRESS MAIL CERTIFICATE**

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee (mail label #EL583737126US) in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231-9999, on May 24, 2001:

Dorothy Jenkins

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*Dorothy Jenkins*

Signature

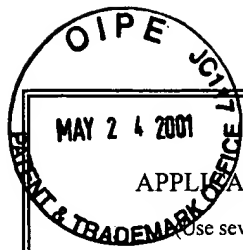
May 24 2001

Date of Signature

Respectfully submitted,

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MAY 24 2001

## APPLICANT'S ART CITATION

(Use several sheets if necessary)

Application 09/786,736

OFGS File No. P/3331-217

Applicant MILLS et al.

Filing Date 3/8/01

Group Art Unit \_\_

## U.S. PATENT DOCUMENTS

Examiner Initials	Document Number							Date	Name	Class	Sub- class	Filing Date If Appropriate
	5	3	7	5	0	5	5	12/1994	TOGHER et al.			
	5	0	1	4	6	2	7	1/2000	TOGHER et al.			

## FOREIGN PATENT DOCUMENTS

	Document Number							Date	Country	Class	Sub- class	Translation	
												Yes	No
	99/	1	9	8	2	1		4/1999	WO/PCT/INTL.			n/a	

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)


Examiner

Date Considered

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.